

PS1222.06 FORMS MANAGEMENT



Program Statement

OPI: IPD
NUMBER: 1222.06
DATE: September 17, 1997
SUBJECT: Forms Management

1. PURPOSE AND SCOPE. To prescribe the management and use of Bureau national forms, including all paper ("BP") and electronic forms.

This Program Statement applies to all components of the Bureau.

Centralized, automated forms ordering has been in effect since 1980. The use of various computer methods to generate electronic forms has been part of the Bureau's forms management system since 1993.

The Office of Documents Control Systems is responsible for the overall forms management program.

Semi-annual Operations Memoranda detail the procedures for each forms-ordering cycle.

2. PROGRAM OBJECTIVES. The expected results of this program are:

- a. Forms will be developed that facilitate Bureau programs.
- b. Paper and electronic forms will be created and distributed in accordance with approved procedures.
- c. Bureau forms and information on pertinent non-Bureau forms will be readily accessible by staff.
- d. Forms management will be in accordance with all Federal records management requirements.

3. DIRECTIVE AFFECTED

a. Directives Rescinded

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b. Directives Referenced. None.

4. STANDARDS REFERENCED. None.

5. FORMS ORDERING RESPONSIBILITIES FOR PAPER ("BP") FORMS.

Controllers in institutions and Comptrollers in regional offices are responsible for their respective forms ordering and may select a coordinator to assist. At staff training centers and community corrections offices, the chief executive officer should appoint a coordinator.

a. Office of Documents Control Systems. The Office of Documents Control Systems shall:

- (1) Approve the design and development of all Bureau nation-wide forms (paper or electronic);
- (2) Develop and operate the automated forms ordering system;
- (3) Maintain standards for the design and creation of all national forms;
- (4) Act as the central reference and authority for all national forms, maintaining a history file of each form;
- (5) Maintain an automated data base for current forms;
- (6) Schedule the ordering cycle (October 1st and April 1st of every fiscal year) for the forms ordering process via an Operations Memorandum;
- (7) Obtain a blanket purchase order, each fiscal year, to obligate the cost of national forms for the entire Bureau;
- (8) Provide staff assistance to all management staff offices in matters involving forms order and delivery;
- (9) Provide order documentation to each office that ordered forms for their planning and receiving purposes;

- (10) Deliver a consolidated forms order for all national forms to UNICOR together with a consolidated forms shipping breakdown;
- (11) Receive the invoices for payment to UNICOR for charges incurred for forms reproduction in each semi-annual ordering;
- (12) Review all reports of discrepancies on delivery (resolution will be accomplished between Documents Systems and UNICOR Graphics and Services); and
- (13) Provide cost data to the central office Budget Execution Branch for obligation/planning process.

b. Central Office Staff. Central Office staff shall:

- (1) Coordinate all changes to national forms with the Office of Documents Control Systems;
- (2) Manage changes to forms in such a manner as to ensure logical sequencing into the semi-annual order process. That is, target revisions for an ordering period that will allow maximum use of stock already in the field;
- (3) Ensure that forms prescribed for system-wide use are prescribed in an appropriate directive; and
- (4) Provide requirements for system-wide forms stock to Office of Documents Control Systems in accordance with ordering procedures.

c. UNICOR Graphics and Services. UNICOR Graphics and Services shall:

- (1) Process and print requests for system-wide forms received from Office of Documents Systems for semi-annual ordering, initial printing of new or revised forms, or orders for a special purpose;
- (2) Provide units of issue and related form unit costs for each BP form to the Office of Documents Systems;
- (3) Ensure that the print plant uses printing proofs with correct edition dates as reflected on the consolidated forms order or from additional instructions provided by the Office of Documents Systems;

- (4) Insofar as possible, print and deliver forms within 90 days after receipt of the consolidated order from the Office of Documents Systems. If delivery exceeds 90 days, UNICOR shall notify the Office of Documents Control Systems in writing of the anticipated delivery;
- (5) Have the print plant record and maintain records of shipment of forms printed and shipped for at least one year; and
- (6) Have the print plant provide the Office of Documents Systems an invoice showing charges incurred for each form produced. The UNICOR invoice shall contain the following statement:

"I hereby certify that forms ordered on the Federal Bureau of Prisons Automated Forms Order dated: _____, have been produced and shipped to ordering offices in the quantities specified in the automated order file. These shipments have been made in such a manner as to provide a record of receipt at the appropriate field office and these records are maintained at the printing plant for resolution of problems in non-receipt or adjustments in quantities or orders. This certification is provided in lieu of detailed billing and relates directly to the consolidated automated forms order placed with this plant through the UNICOR, Graphics/Services Division in Washington DC"

UNICOR Graphics and Services may not process or print requests for BP forms received out of cycle or not approved in substantial conformance with this Program Statement.

d. Forms Ordering Coordinators. The forms ordering coordinator shall:

- (1) Obtain from BOPDOCS CDROM the current list of BP forms for the ordering cycle;
- (2) Circulate the current list of BP forms throughout their activity;
- (3) Receive order requests from department heads and assist them in assuring that requests are reasonable. For example, the order will not exceed a six-month supply;

- (4) Consolidate quantities for each form and ensure that the information is correctly keyed into the appropriate computer format;
- (5) Print a complete copy of the order as it is keyed, for site record purposes; and
- (6) Provide receiving reports obtained from the Office of Document Control Systems to the Warehouse.

e. Warehouse Receiving. Receivers shall use the receiving report (see above) to verify against the actual delivery of forms. A BOPNet GroupWise E-Mail may be forwarded to the Bureau Forms Manager, within two weeks of delivery of the forms to specify any problems that might have occurred in delivery. If everything is received as ordered, no action is required.

6. USE OF NATIONAL FORMS

Official Bureau forms (those with assigned "BP" numbers) may be referenced in a PS without making them attachments. **Any Bureau form that is made an "attachment" will be included with the printed copy of the PS but will not be included with the electronic copy of the PS on BOPDOCS, since Bureau forms are already available in the forms section of BOPDOCS.**

All forms shall be reviewed and approved through the clearance process described in Section 8 and placed in the electronic format on BOPDOCS. Paper copies of national forms shall be ordered as described in this Program Statement.

All Bureau managers shall ensure that national (system-wide) forms are used when they are prescribed. National forms may not be modified, nor local forms produced as substitutes.

7. ELECTRONIC FORMS. All applicable Bureau forms have been converted to simple WordPerfect templates that will serve as a local source of forms for staff. These forms are available on BOPDOCS and may be accessed as necessary using personal computers. The forms can be opened, viewed, edited, saved, and printed. In addition, viewing a form and running spell-check will identify minor errors prior to printing the document. BOPDOCS contain a **FORMS INFORMATION FILE (CDFRM.W51)** with details on the automation of paper forms. Electronic forms are less expensive than paper forms and shall be used whenever possible in the interest of cost containment.

8. CLEARANCE AND APPROVAL OF NATIONAL FORMS. The Office of Primary Interest (OPI) initiates the clearance process by completing a BP-S640, Forms Clearance and Approval, and submitting it and the sample form to the Bureau Forms Manager, who designs the final form and prepares its electronic record.

A copy of the revised form is returned to the OPI for final review. The OPI's branch chief or administrator is responsible for reviewing it to ensure the form is accurate and in agreement with the national program. The Chief of Documents Control Systems has authority over the approval or rejection of national forms.

The OPI responsible for the form must also ensure that the form is prescribed in a Program Statement.

Forms may not be referenced in policy unless they have gone through the clearance and approval process. When a form is referenced, only the number and title is required. For example, BP-S101.041, Request for Purchase, shall be referenced as BP-S101, Request for Purchase.

a. Modification of National Forms. A form that is already referenced may be modified without going through the normal clearance process described above. The responsible Branch Chief shall submit form BP-S640 requesting the change to the Forms Manager. It will be assumed that the latest edition of a form will be the current form even if the parent directive has not been revised.

b. Cancellation of National Forms. The OPI may cancel a form for which it is responsible. To cancel a form, the Program Manager shall send a memorandum to the Forms Manager requesting the form be canceled. The Forms Manager is also responsible for deleting references to that form in policy.

A form shall be canceled when the policy prescribing it is canceled.

c. Templates. Templates are essentially forms, but are not prescribed a number because of their limited usage. An example would be a template that is used only at a few Bureau activities and not service-wide. A template can be copied onto a file from a directive and use in that manner as necessary.

9. EMS FORMS. EMS forms were created in SENTRY and sent via SENTRY. However, with the service-wide use of BOPNet GroupWise E-Mail, it is not necessary to use SENTRY for this purpose. Rather, EMS Forms have been designed as Electronic Forms and transmitted via BOPDOCS CDROM.

10. ORDERING OTHER PAPER FORMS. The following description applies to non-Bureau forms orders.

a. Forms Prescribed by the Department of Justice. Forms prescribed for use by the whole department are identified by the prefix "DOJ" and are obtained by submitting a DOJ-182 Form, Stock Printed Item Requisition, to the Department at:

Warehouse Services Unit
U.S. Department of Justice
3601 Pennsy Drive
Landover MD 20785

Some DOJ forms are available via BOPDOCS. A DOJ-182 may be faxed to (301) 436-1000. For assistance staff may call (301) 436-1007.

b. Standard and Optional Forms (SF/OP). Forms may be obtained from GSA by using the GSA Catalog available in the Business Office. A purchase request should be submitted to your Business Office for ordering from the area GSA Supply Store. Selected GSA forms are available on BOPDOCS.

c. Other Agency Forms, Such As GSA, OMB, or Office of Personnel Management. When any Federal directive prescribes use of an agency's form, the directive usually gives instructions on how to obtain the forms, including the request for a memorandum.

11. OTHER AGENCY'S ELECTRONIC FORMS ON BOPDOCS. Many high usage forms including standards and optional forms are available in electronic format on BOPDOCS. The responsible Branch Manager can submit a memorandum to the Office of Control Documents Systems to have other agency forms put on BOPDOCS.

12. OUT-OF-CYCLE ORDERS OF FORMS. The Controller or Forms Coordinator can request out-of-cycle BP (paper) forms orders as needed. However, since these are more costly, these requests must contain a justification. Use BOPNet GroupWise E-Mail and send the justification to the Bureau Forms Manager.

13. ASSISTANCE. Questions regarding forms management and usage may be directed to the Office of Documents Control Systems at (202) 514-2254.

/s/
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